

Executive Officer's License Application

(Comprehensive)

Nebraska Department of Banking & Finance

www.ndbf.ne.gov

1526 K Street, Suite 300
Lincoln, NE 68508-2732
402-471-2171

Section 8-139 of the Nebraska Banking Act provides that "No person shall act as an active executive officer of any bank until such bank shall apply for and obtain from the Department a license for such person to so act."

PART I: This section to be completed by the Applicant Bank.

Main Office Name

Street Address

City

County

State

Zip Code

Applicant Bank Name and Address to mail license to if different than above:

Name

Street Address

City

County

State

Zip Code

Application is hereby made for the following type of license:

- ☐ Class I
☐ Class II

Applicant Bank Official to Contact Regarding this Individual Application:

Name

Title

Telephone

Does Applicant Bank desire an email notification upon action by the Department?
If yes, please provide email address below.

☐ Yes ☐ No

Email Address

ALL APPLICANT BANKS – SUPPLEMENTAL INFORMATION

(Any "No" answer requires an explanation to be attached.)

☐ Yes ☐ No For individuals newly hired or employed less than 6 months, references were checked.

☐ Yes ☐ No Credit report less than one month old has been reviewed, and any negative information has been satisfactorily explained, and balances on credit report closely approximate what is reflected on the Individual Personal Financial Statement. The credit report should be of a type used for hiring decisions, such as the "PERSONA" report offered by Equifax, a "PEER" (Pre-Employment Evaluation Report) offered by TransUnion, or an "INSIGHT" report offered by Experian, and not the type of credit report used in evaluating an application for credit. **Credit report should NOT be submitted to the Department.**

For Department Use Only

Please attach the following to the completed application.

- ☐ An originally signed Personal Financial Statement, pages 1 and 2, of the Individual Applicant on the Department form, current as of the date of the application. [Click here](#) for the form.
- ☐ A copy of all Criminal History Reports from each state in which the applicant has resided during the past ten years. [Click here](#) for link to Criminal History Record repositories for each state. When requesting a Criminal History Report from the Nebraska State Patrol, a signed release must be submitted to the Patrol. [Click here](#) for the release. Applicant Bank has the option to obtain a Background Check which includes a Criminal History Report from a vendor. To be acceptable to the Department, the vendor must provide documentation or a certification that the Criminal History Record repository was checked for each state the applicant has resided in during the past ten years. This vendor report may be submitted in substitution of a report from the Nebraska State Patrol or any state repository.
- ☐ A resume for the Individual Applicant including residence address, employment record, education, professional licenses and business associations, current as of the date of the application.
- ☐ A letter from a bank official of the Bank for which this application pertains stating the reasons why the Applicant Bank desires to acquire a license and details how the Applicant Bank concluded the Applicant is a person of good moral character, known integrity, business experience and responsibility, and is capable of conducting the affairs of the Applicant Bank on sound banking principles. **(This requirement must be completed by a Board Member if the Individual Applicant is the Chief Executive Officer of the Applicant Bank.)**
- ☐ A completed United States Citizenship Attestation Form. [Click here](#) for the form.
- ☐ A check in the amount of \$50.00 made payable to the Nebraska Department of Banking and Finance.

AUTHORITY

I, _____ (President, CEO, Executive VP, or Board Member) of the Applicant Bank for
Name of Signatory (printed or typed) Circle Title Above
which this Individual Application pertains, requests the issuance of a license to the Applicant named herein, conveying the authority to act as an active executive officer of the Applicant Bank.

Signed this _____ day of _____, _____.

Signature of President, CEO, Executive VP, or Board Member

PART II: This section to be completed by the Individual for whom the Application is made.

Attach additional sheets as necessary to fully answer any question.

Biographical Report:

Individual Name

Street (Home Address)

City

County

State

Zip Code

Social Security Number

Date of Birth

Preferred Telephone Contact Number

Applicant Email Address

Bank Location Where Applicant Will Work:

Street Address

City

County

State

Zip Code

Employment Record:

1. Have you ever been dismissed or asked to resign from any past employment, including receiving an Other Than Honorable discharge from military service? ☐ Yes ☐ No
If "yes," complete the following:

Employer's Name, Address, Telephone	Position	Date of Discharge	Explanation *Attach additional page if needed for full explanation*

General Information:

1. Have you or any business interest of yours undergone bankruptcy? ☐ Yes ☐ No
If "yes," give full details including place and date.
2. Have you ever been the subject of a garnishment? ☐ Yes ☐ No
If "yes," give full details including place and date.

3. Have you ever been convicted for the violation of any law that has not been pardoned or set aside other than a minor traffic infraction? ☐ Yes ☐ No

If "yes," give full details including date, county and state.

4. Have you ever been turned down or canceled on a personal, fidelity, or surety bond? ☐ Yes ☐ No

If "yes," give name of bonding company and date of rejection or cancellation.

5. Have you ever been denied any professional license (e.g., Attorney, Medical, CPA, Real Estate, Insurance, FINRA, or SEC registration), or has any such license ever been suspended or revoked? ☐ Yes ☐ No

If "yes," give full details.

6. To your knowledge, are you, or have you ever been, the subject of an investigation regarding any such license? ☐ Yes ☐ No

If "yes," give full details.

7. To your knowledge, are you, or have you ever been, the subject of a federal or state administrative investigation or order? ☐ Yes ☐ No

If "yes," give full details.

8. Do you have any contingent liabilities, either personally or through the above business interests, to any source including the Applicant Bank? ☐ Yes ☐ No

If "yes," complete the following:

Financial Institution	Amount of Borrowing	Borrowing Entity

9. List the duties and responsibilities you will have at the Applicant Bank.

10. Are you, or upon hiring, will you be, a member of the Applicant Bank's board of directors? ☐ Yes ☐ No

11. If yes to #10, are you, or will you be, an officer of the Applicant Bank's board of directors? ☐ Yes ☐ No
Title: _____

12. Are you, or upon hiring, will you be, a shareholder of the Applicant Bank? ☐ Yes ☐ No
If "yes," state the number of shares you own, or will own: _____

13. Are you, or upon hiring, will you be, a shareholder of the Applicant Bank's holding company? ☐ Yes ☐ No
If "yes," state the number of shares you own, or will own: _____

CLASS II: Applicants Only

Do you currently hold a Class I Executive Officer's License for the Applicant Bank? ☐ Yes ☐ No

What is the lending limit of the Applicant Bank? \$ _____

Does the Applicant Bank have a written loan policy? ☐ Yes ☐ No

Do you have two years experience in the making of loans or investments? ☐ Yes ☐ No
If "yes," give details of experience: _____

CLASS I: Individual Applicants Only

Do you understand that as the holder of a Class I Executive Officer's license, you are **NOT** permitted to directly or indirectly make loans or investments? ☐ Yes ☐ No

ATTESTATION

I certify that the information contained in this application is true, correct, and complete, and is current as of the date of this submission. I acknowledge that any misrepresentation or omission of a material fact constitutes fraud in the inducement and may subject me to legal or administrative sanctions.

Signed this _____ day of _____, _____.

Signature of Individual Applicant